

## Section II: Local Agency Procedure Manual

### III. Local Monitoring and Audits

#### B. Records Management

##### Purpose

To ensure local agencies are following a standardized records retention procedure.

##### Policy

Local agencies will manage the records within their office in accordance with the procedures outlined below and their contract with the State.

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1. Destruction of Records
  - Records with any sensitive, confidential or identifying information must be shredded, incinerated or electronically archived.
  - If shredding or incineration is done by someone other than WIC staff, the destruction of the records must be witnessed by WIC staff.
2. Unless otherwise outlined in contract, law or regulation, records must be managed as follows:

Record Name	For How Long	Confidentiality	Safekeeping Required?	Deadline for Submission to State WIC Agency
Program Complaints	3 years	Yes	Yes	When reported
Participant Complaints	3 years	Yes	Yes	Notify as occurring - Process within 30 days
Participant Fraud Form	3 years	Yes	Yes	When Reported
WIC Card Inventory Log	3 years	No	Yes	N/A
Voided WIC Benefits	3 years	Yes	Yes	N/A
End of Day Reports	4 years	Yes	Yes	N/A
Nutrition Education Plan Breastfeeding Education Plans	3 years	No	No	With annual contract
Outreach Plan	3 years	No	No	With annual contract
List of Homeless Facilities/ Institutions Meeting Criteria Outlined in Policy	3 years	No	No	With annual contract
CLIA Information (those under the State WIC Office's Certificate)	3 years	No	No	With annual contract
Contract Application/ Budget Request	3 years	No	No	Will be posted with Request for Proposal or other Announcement
Contracts with DPHHS	8 years	No	No	Before September 30 <sup>th</sup>

Expenditure Reports (with supporting documentation)	6 years	No	No	28 <sup>th</sup> of following month
SA Monitoring Reports	3 years	No	No	Respond within 30 days after receipt
WIC Agency Correspondence	3 years	No	No	As needed